

Please type and sign (+) inside this box → ☐

PTO/SB/21 (6/98)

Approved for use through 9/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(To be used for all correspondence after initial filing)

Application No.	10/617,349
Filing Date	July 9, 2003
First Named Inventor	Isaac J. William
Group Art Unit	3627
Examiner Name	Olszewski, Robert Paul
Attorney Docket No.	OR01-17401

Total Number of Pages in this Submission:

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavit/Declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts Notice/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 <input checked="" type="checkbox"/> Petition to Correct Inventorship: <u>Petition under 37 CFR § 1.48;</u> <u>Statement by Omitted Inventors;</u> <u>Consent of Assignee; and</u> <u>Combined Declaration and Power of Attorney by Added Inventor</u>	<input checked="" type="checkbox"/> Assignment Papers for an application <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney by Assignee, with Revocation of Former Powers <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After-Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s): <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Check for \$ <u>130.00</u> <input type="checkbox"/> _____
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### Remarks:

A Petition to Correct Inventorship is enclosed (to add an inventor). In addition, Assignment papers from the added inventor are also enclosed.

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Name	Edward J. Grundler (Registration No. 47,615)	Date	January 14, 2005
Signature		Telephone	530/759-1663
Address	2820 Fifth Street, Davis, CA 95616	Facsimile	530/759-1665

## CERTIFICATE OF MAILING

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → ☐

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I hereby certify that this correspondence is being deposited with the U. S. Postal Service as ☐ Express Mail (No. EJ xxx yyy zzz US) or

☒ First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: January 14, 2005

Type or Printed Name	Jeannie Camara	Signature	Jeannie Camara
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL**  
**For FY 1999**

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SD/09-12.

See 37 C.F.R. §§ 1.27 and 1.28

TO: **AMOUNT OF PAYMENT** (\$)**Complete if Known**

Application Number	10/617,349
Filing Date	July 9, 2003
First Named Inventor	Isaac J. William
Examiner Name	Olszewski, Robert Paul
Group / Art Unit	3627
Attorney Docket No.	OR01-17401

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number **50-1003**  
 Deposit Account Name **Park, Vaughan & Fleming LLP**

- ☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid		
101	760	201	380	Utility filing fee	
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)**

(\$) 0

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent Claims	-3** =	X	

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description		
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$) 0

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2520	147	2520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1360	218	680	Extension for reply within fourth month	
128	1850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1510	138	1510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1210	241	605	Petition to revive - unintentional	
142	1210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	130
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify)

Other fee (specify)

(\$) 130

**SUBTOTAL (3)**

\* Reduced by Basic Filing Fee Paid

**SUBMITTED BY**

Typed or Printed Name **Edward J. Grundler**

Signature 

Date

January 14, 2005

Telephone

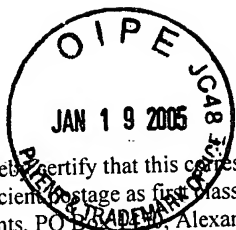
530/759-1663

**Complete (if applicable)**

Reg. Number

47,615

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Patent Application  
Docket No. OR01-17401

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on January 14, 2005

Jeannie Camara

(Typed or Printed Name of Person Mailing Paper or Fee)

Jeannie Camara

(Signature of Person Mailing Paper or Fee)

Docket No. OR01-17401

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

*In re* Application of )

Isaac J. William et al )

Serial No. 10/617,349 )

Filed: July 9, 2003 )

For: **APPARATUS AND METHOD** )  
**CONFIGURABLE FOR LOCAL** )  
**JURISDICTIONS THAT** )  
**FACILITATES DETERMINING** )  
**TAXES** )

Group Art Unit: 3627

Examiner: Olszewski, Robert Paul

**PETITION FOR CORRECTION OF INVENTORSHIP**  
**PURSUANT TO 37 C.F.R. 1.48(a)**

Assistant Commissioner for Patents  
M/S: Customer Service Center  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. 1.48(a), correction of the inventorship of the above-identified non-provisional patent application is respectfully requested. Please amend the application to include the following inventors:

Paulo Back, and  
Harshavardhan Takle.

The foregoing inventors were not previously named through error without any deceptive intention on the part of the actual inventor or inventors. In support of this amendment, the following is included:


- ☒ Verified Statement (Declaration) Of Facts Supporting Request For Correction Of Inventorship, by the inventor or inventors being added.
- ☒ Oath or declaration by each actual inventor or inventors as required by 37 C.F.R. 1.63.
- ☒ Written consent of any assignee.
- ☒ Acknowledgement postcard.

In addition, the following is included:

- ☐ Assignment of Application for Patent.
- ☐ Recordation Form Cover Sheet.
- ☒ Pursuant to 37 C.F.R. 1.17(h), a check in the amount of \$130.00 for the statutory filing fee.
- ☒ The Commissioner is hereby authorized to credit overpayments and charge underpayments to/from Deposit Account No. 50-1003.

Respectfully submitted,

Dated: January 14, 2005

By:   
Edward J. Grundler  
Registration No. 47,615

Edward J. Grundler  
PARK, VAUGHAN & FLEMING LLP  
2820 Fifth Street  
Davis, CA 95616  
Tel: (530) 759-1663  
FAX: (530) 759-1665



Attorney Docket No. OR01-17401

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*In re* Application of )  
Isaac J. William et al ) Group Art Unit: 3627  
Serial No. 10/617,349 ) Examiner: Olszewski, Robert Paul  
Filed: July 9, 2003 )  
For: APPARATUS AND METHOD )  
CONFIGURABLE FOR LOCAL )  
JURISDICTIONS THAT )  
FACILITATES DETERMINING )  
TAXES )

**STATEMENT UNDER 37 C.F.R. § 1.48 FROM  
PERSON BEING ADDED AS AN INVENTOR**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. § 1.48, I, Paulo Back, hereby declare that the error in inventorship that is being corrected by my addition as an inventor occurred without deceptive intention on my part.

Date: 12/28/04

Signature: 

Please direct any telephone calls or correspondence concerning this statement to:

Edward J. Grundler  
Park, Vaughan & Fleming LLP  
508 Second St., Ste. 201  
Davis, CA 95616-4692  
(530) 759-1663



Attorney Docket No. OR01-17401

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )

Isaac J. William et al )

Serial No. 10/617,349 )

Filed: July 9, 2003 )

For: **APPARATUS AND METHOD** )  
**CONFIGURABLE FOR LOCAL** )  
**JURISDICTIONS THAT** )  
**FACILITATES DETERMINING** )  
**TAXES** )

Group Art Unit: 3627

Examiner: Olszewski, Robert Paul

**STATEMENT UNDER 37 C.F.R. § 1.48 FROM  
PERSON BEING ADDED AS AN INVENTOR**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

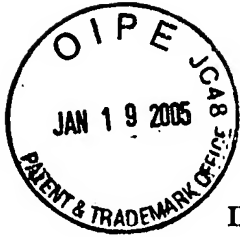
In accordance with 37 C.F.R. § 1.48, I, Harshavardhan Takle, hereby declare that the error in inventorship that is being corrected by my addition as an inventor occurred without deceptive intention on my part.

Date: 01/11/05

Signature: Hakle

Please direct any telephone calls or correspondence concerning this statement to:

Edward J. Grundler  
Park, Vaughan & Fleming LLP  
508 Second St., Ste. 201  
Davis, CA 95616-4692  
(530) 759-1663



Patent Application  
Docket No. OR01-17401

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

*In re* Application of )  
Isaac J. William et al ) Group Art Unit: 3627  
Serial No. 10/617,349 ) Examiner: Olszewski, Robert Paul  
Filed: July 9, 2003 )  
For: **APPARATUS AND METHOD** )  
**CONFIGURABLE FOR LOCAL** )  
**JURISDICTIONS THAT** )  
**FACILITATES DETERMINING** )  
**TAXES** )

**STATEMENT OF WRITTEN CONSENT OF ASSIGNEE**  
**PURSUANT TO 37 C.F.R. 1.48(a)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

By an Assignment, executed July 7, 2003, the business concern identified below asserts that it is the assignee ("Assignee") of the entire right, title, and interest in, to, and under the invention in and an application for a Patent of the United States, as identified above.

Applicant is petitioning the Commissioner, through a Request for Correction of Inventorship filed herewith, for the correction of the inventorship of said foregoing application by amending said application to name the following inventors:

Paulo Back, and  
Harshavardhan Takle.

Pursuant to 37 C.F.R. 1.48(a), Assignee hereby grants written consent and approval for the execution and filing of said foregoing Petition.



I am:

☐ the owner of the business concern identified below:  
☒ an official of the business concern empowered to act on the behalf of the  
concern identified below:

NAME OF CONCERN: Oracle International Corporation

ADDRESS OF CONCERN: 500 Oracle Parkway, Redwood Shores, CA 94065

NAME OF PERSON SIGNING: Daniel Cooperman

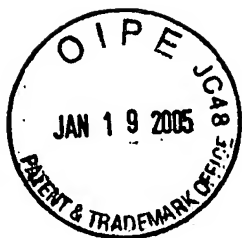
TITLE OF PERSON SIGNING

IF OTHER THAN OWNER: Chief Executive Officer and President

ADDRESS OF PERSON SIGNING: 500 Oracle Parkway, M/S 50P7, Redwood Shores,  
California 94065

SIGNATURE: 

DATE: 1/13/05



Attorney Docket No. OR01-17401

DECLARATION FOR PATENT APPLICATION

As a below named inventor(s), I hereby declare that:

My residence, mailing address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

"APPARATUS AND METHOD CONFIGURABLE FOR LOCAL JURISDICTIONS THAT FACILITATES DETERMINING TAXES"

the specification of which

  X   is attached hereto.  
was filed on July 9, 2003 as  
United States Application Number 10/617,349,  
or PCT International Application Number \_\_\_\_\_,  
and was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 (copy attached).

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), on any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			<u>Priority Claimed</u>	
<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year Filed)	<u>          </u> Yes	<u>          </u> No
<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year Filed)	<u>          </u> Yes	<u>          </u> No
<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year Filed)	<u>          </u> Yes	<u>          </u> No

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States

<u>60/398,769</u>	<u>26 July 2002</u>
(Application Number)	(Filing Date)
<u>                    </u>	<u>                    </u>
(Application Number)	(Filing Date)

(Application Number) abandoned)	(Filing Date)	(Status - patented, pending,
(Application Number) abandoned)	(Filing Date)	(Status - patented, pending,
(Application Number) abandoned)	(Filing Date)	(Status - patented, pending,

Full Name of Sole/First Inventor Isaac J. William

**Mailing Address** \_\_\_\_\_

Full Name of Second Inventor Alexander O. Fiteni

Inventor's Signature *[Signature]* Date 2004/12/28

Residence *same as below of 2004/12/28* #3 647 Catamaran Street, Foster City, CA 94404 Citizenship Canada  
(City, State) (Country)

Mailing Address 30476 Carrou Ave., Hayward, CA 94544 *of 2004/12/28*

Full Name of Third Inventor Paulo Back

Inventor's Signature *Paulo Back* Date 12/28/04

Residence 3018 Whisperwave Circle, Redwood Shores, CA 94065 Citizenship Brazil  
(City, State) (Country)

Mailing Address Same as above

Full Name of Fourth Inventor Harshavardhan Takle

Inventor's Signature *Hakle* Date 01/11/05

Residence 860 Erickson Lane, Foster City, CA 94404 Citizenship India  
(City, State) (Country)

Mailing Address Same As Above

**\*22835\***

**22835**

PATENT TRADEMARK OFFICE



**22835**

Title 37, Code of Federal Regulations, Section 1.56  
Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

( c ) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are: